GUIDE TO THE USE OF THE FILES



Human Relations Area Files, Inc.
New Haven, Connecticut
1956

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INTRODUCTION

The purpose of this brochure is to explain the Human Relations Area Files to potential file users and also to instruct them in the most efficient means of making use of the files in their research. It is not intended to be exhaustive; there are many aspects of the file-building process such as printing, collating, techniques of filing and so forth that are mentioned only briefly in this brochure. Its chief aim is to answer those questions that a person unfamiliar with the files may reasonably be expected to ask. What are the Human Relations Area Files? How are they organized? How is material analyzed? What does a person need to know about the files in order to use them? How can one use the files for cross-cultural or areal research? For more detailed information, or for technical data that are not covered in this brochure, the researcher should consult the file supervisors at the various institutions which subscribe to the files - a list of these institutions appears on the back cover of this brochure - or write directly to the Human Relations Area Files, Inc., P.O. Box 2054 Yale Station, New Haven, Connecticut. The research staff at HRAF will gladly answer questions about the files or direct the researcher to individuals at the member institutions who may be of more immediate assistance to him.

In addition to this brochure there are several HRAF publications that the researcher should be familiar with in order to use the files efficiently.

These are described separately below:

1. Outline of Cultural Materials (the OCM). This is one of the two basic guides to the files. It contains a brief history of the files, the theoretical basis of their organization, the complete list of categories that are used in marking or analyzing material together with definitions of these categories. The OCM may be consulted at the member institutions or purchased by mail from HRAF, New Haven. Its cost is $2.00.

2. Outline of World Cultures (the OWC). This is the second basic guide to the files and consists of a classification by area and key number of the files upon which the research staff at HRAF is working at present or may possibly work on in the future. The purpose and organization of the OWC is explained in a preface to the manual. Like the OCM, the OWC may be consulted at the member institutions or purchased by mail from HRAF, New Haven; its price is $2.00. The researcher should be warned, however, that the OWC is only a preliminary classification of the cultures of the world and since its publication it has been extensively revised in the light of actual research. The member institutions have received bulletins from HRAF which include the various additions and revisions to the manual

and for a knowledge of its present status the researcher is advised to consult the file supervisors at the institution where he is doing his work.

3. Function and Scope of the Human Relations Area Files, Inc.
For researchers completely unfamiliar with the files, Function and Scope provides a brief history of the organization, its aims, and its methods of operation. It may be obtained free of charge from HRAF, New Haven.

4. Guide to Filing: HRAF Information Bulletin to File Recipients, No. 2.
This bulletin was prepared specifically for the file clerks at the member institutions in order to assist them with their work. It includes a technical discussion of filing techniques, the significance of the various headings used on file slips, the types of category numbers and so forth. Much of this information is included in the present brochure, but researchers who desire more detailed information may consult the bulletin at the member institutions by contacting the file supervisor.

5. HRAF Information Bulletins. Information bulletins are sent to the member institutions whenever a change is instituted in the HRAF method. They may concern revisions in the OWC,

additions to the index of the OCM, decisions regarding particular files, instructions about filing and so forth. To remain informed of these changes, the researcher should consult the file clerks at the member institutions.

In using the present brochure, the researcher is advised to read it through entirely in order to acquaint himself with the HRAF method and then to refer to those sections that are of particular relevance to his problem. To make it more convenient for his use it is organized as a series of questions and answers and includes, as well, a detailed table of contents and a glossary.

WHAT ARE THE HUMAN RELATIONS AREA FILES?

The Human Relations Area Files or HRAF, as it is commonly known, is a research organization composed of sixteen member universities. It was established in 1949 as a non-profit corporation to collect, organize and distribute information of significance to the natural and social sciences and the humanities. The headquarters of the organization is in New Haven, Connecticut, with a branch office in Washington, D.C. A complete history of the files will be found in Function and Scope of the Human Relations Area Files, Inc. and in the introduction to the Outline of Cultural Materials.

Broadly stated, the function of HRAF is to facilitate research and comparative study in the sciences concerned with mankind, thereby promoting a general understanding of the peoples of the world, their ways of life, their problems,

values and ideas. To carry out this program, HRAF is building a new kind of research library. Most large repositories of information rely upon indexing or other guidance devices which, when consulted, refer the researcher to the many other places where he may find his data. HRAF, on the other hand, systematically places the information at the outset where it will be sought by the investigator. By actually duplicating original materials and organizing them topically for each people, the scattered data bearing on the same society and subject matter are automatically brought together in the same place and thus made readily available to the researcher.

The new HRAF library is located in its entirety at each of the member institutions; it contains maps, line drawings, and pictures in addition to organized files of textual materials. Since the sixteen universities are broadly distributed from the Atlantic to the Pacific, including Hawaii, a HRAF library is reasonably close to any American scholar.

The files are intended to provide data essential to the theorist, the analyst, the synthesizer, and the critic, and as such they have already proved their usefulness in a number of ways. They have been used, for example, by a student of drama who was interested in the function of drama in the life cycle of primitive peoples; by a writer who needed background information for a novel about an island in the Pacific; by a botanist preparing a bibliography on the flora of Oceania; by an anthropologist preparing a cross-cultural study of the structure and function of kinship groups; and by a psychologist interested in testing hypotheses about the relation of child

training practices to various aspects of adult culture. They have also been used in the preparation of guides and handbooks on peoples and cultures throughout the world and by personnel from governmental and other agencies who needed background information on particular societies. Theoretically, the utility of the files is limited only by the imagination of the researcher.

WHO MAY USE THE FILES?

At some of the universities, only graduate students and faculty members are allowed to use the files; at others, all students are permitted to use them; and at still others, they are open to the public. For information on this point, the researcher should consult the file supervisor at the institution where he plans to do his work.

WHAT IS THE DIFFERENCE BETWEEN THE CROSS-CULTURAL SURVEY AND THE HUMAN RELATIONS AREA FILES?

The Cross-Cultural Survey is the predecessor of the Human Relations Area Files. It was also a system of classifying and coding cultural data but it differed in many respects from the coding system that is currently used by HRAF. In addition, the Cross-Cultural Survey is available only at the Institute of Human Relations, Yale University, where it may be consulted by researchers. Plans are underway to re-process this material according to the system now used by HRAF. In the meantime, if a researcher is interested in determining which cultures were covered by the Cross-Cultural Survey, he may

refer to the Outline of World Cultures where they are indicated by "(C)" following the name of the culture.

WHAT IS MEANT BY "PROCESSING" A SOURCE FOR THE FILES?

Processing is the term used by HRAF for everything that is done to or with a source from the time it is selected for the files until it is sent to the member institutions for filing. As explained on page 12 every source is selected by a Research Associate at HRAF who also indicates the heading that is to appear on it. (See page 29 for a discussion of headings.) It is then sent to an analyst who prepares it for xerography, the process by which each page of the text is photographically reproduced on multilith mats or masters and from which it will eventually be printed. After the source is xeroxed, the mats are returned to the Research Associate who assigns them to an analyst for "marking," the term used by HRAF for the actual analysis of the data. After a source is marked, it is checked by another analyst for mechanical or conceptual errors. It is then returned to the original marker who reconciles his own marking with the suggestions and criticisms of the checker, prepares a bibliography slip (see page 13), and necessary cross-reference slips (see page 35). It is then sent to the printing department where a 5 x 8 category slip is printed for each of the categories indicated on the individual masters as well as an additional copy of each page for the 116 category (Complete Texts). After this, the source is collated, sent to the member institutions and filed.

HAVE THERE BEEN ANY BASIC CHANGES IN THE PROCESSING OF MATERIAL?

Except for technical innovations, which are beyond the scope of this guide, there has been only one basic change in the HRAF method of processing a source. Until 1952, a duplicate of the actual source was not photographically reproduced for the files; instead, typewritten excerpts were made of relevant data and it was these excerpts which were distributed to the member universities. Since that time, however, HRAF has been using a dry photography process known as xerography and the researcher now has at his disposal an exact duplicate of the original source or, as in the case of foreign texts, a duplicate of the original source as well as a typewritten translation of the source. An example of an old type file slip is illustrated below, and an example of a new file slip appears on page 10.

6: Abbeville--222 (1611) 1614 Tupinamba
116, 322, 411

... The heart of this tree [MC: toucon-vue palm] is also black and as hard as ebony: the Indians use it to make their swords and bows.

EXAMPLE A

This is a facsimile of an excerpt. It is marked for three categories (116, 322, and 411) though this copy of the excerpt is intended for category 411 as indicated by the underlining. When HRAF started using xerography (1952) analysts discontinued marking excerpts for category 116 (Complete Texts). A copy of each file slip, however,

is automatically printed for that category. For an explanation of the heading see page 32 and for an explanation of the note in brackets see page 26.

IN WHAT ORDER ARE FILES OPENED?

HRAF hopes eventually to assemble files of information on as many societies as possible. In order to work towards this goal and, at the same time, constantly maintain a system of files that is usable for cross-cultural and comparative research, HRAF has drawn up a representative sample of societies known to history and ethnography and, generally speaking, it is from this sample that the cultures to be worked on are chosen. The sample cultures are indicated in the Outline of World Cultures by "(S)" following the name of the culture and are listed on pp. 170-180. The theoretical basis on which the sample was determined is explained in detail in the preface to the same publication.

ARE FILES EVER CLOSED?

Actually, no. A file is considered adequate when all the basic material has been processed, but any material of significance that becomes available after that time will be added to it. When the Outline of World Cultures was published, the authors used a code to indicate whether a file was in process at that time (the letter P in parentheses after the file name), whether it was sufficiently complete for a researcher to begin

8:Kawaguchi M-5 (1900-01) 1909 AJ1 Tibet AJ1

short, a wife generally exercises a commanding authority over her husbands. 562 593

She will order them to go out shopping and to do this or that, and husbands are quite obedient to the wife, too, and quite ready to do everything that is required, or that they find suitable to soothe her. When two or more men have anything to agree upon among them, they do not decide for themselves, but run home and ask their wife's opinion before coming to a final decision, and, if she has no objection, they will meet again and settle the matter. Though polyandry is the prevailing system of marriage in Tibet, there are a few exceptional cases of monogamistic couples, generally in cases where the husband is in a comparatively influential position. 595

Another peculiarity in connexion with marriage is that an agreement, to the effect that either husband or wife may divorce the other whenever he or she has become averse to continuing as the other's partner, is acknowledged as a legitimate condition of a matrimonial contract. 586

I come now to a description of the marriage ceremony as observed in Lhasa. The Tibetans, whether men or women, marry generally between the twentieth and twenty-fifth years of age. 582 595 601

Although there are some exceptions (especially in the case of couples married late in life, where the husband's age much exceeds that of his wife) usually both bride and groom are of about equal age. If a woman who has five brothers as her husbands gives birth to a child, the eldest of the brothers is called the father of the child and the rest the uncles. One European writer says that in Tibet the eldest of the brothers, who have the same woman as their wife, is called the great father of her children, and the younger brothers their small fathers; but this I have not been able to verify. 851

EXAMPLE B

This is an example of the current type of file slip. It is a photographic reproduction of an actual page of text. It is marked for seven categories (562, 593, 595, 586, 582, 601, and 851; though this copy of the file slip is intended for category 595 as indicated by the hole punched next to the category number. A copy of the file slip will also be printed for category 116 (Complete Texts). For an explanation of the heading see page 29.

using it (the letter H in parentheses after the file name) and whether the material was available in the Cross-Cultural Survey but not in the Human Relations Area Files (the letter C in parentheses after the file name). Since that time, however, many more files have been opened, and for more complete information the researcher should consult the OWC key file which is described below.

WHAT FILES ARE IN PROCESS?

From the list of files in the Outline of World Cultures, HRAF selects only certain files for intensive research, as explained on page 9. The other files are technically inactive, though while marking sources for one file, the analyst may mark occasional pages or sections of the text for related OWC files if it seems desirable to do so. (See the preface to the OWC for a discussion of the way in which this system operates.)

To determine whether slips have been received for a file, therefore, the researcher should consult the OWC key file. This is a master guide to all the files for which material has been processed, and is available at all of the member institutions. In the OWC key file, there is a tabbed index card for each of the files listed in the OWC. (At some of the member universities, a tabbed index card is inserted in the OWC key file only if material has been received for that file.) These are filed numerically and alphabetically according to the OWC symbols. Behind these cards are all of the slips that have been received for that file, or, if a separate

drawer has been assigned to it, a note indicating where the file slips are located. As a rule, a separate drawer is not assigned to a file unless a substantial amount of material has been received from HRAF, New Haven, or until the file supervisor is informed that he may expect such material in the near future. If, in the key file, there is neither a notation behind the index card nor file slips, the researcher may assume that data for that file have not been received.

In the OWC key file, the slips are filed according to source number and category, though the sources and categories have not been separated from each other by dividers. File slips are separated by dividers only when they are assigned to a file drawer of their own.

HOW IS SOURCE MATERIAL FOR THE FILES SELECTED?

Before a file is opened, there is an intensive period of bibliographical research. This is done by the research staff at HRAF, New Haven either independently or in consultation with area experts whose services are available to HRAF on an advisory basis. Suggestions are also solicited from users of the files, and researchers are urged to inform HRAF of any material they would like to see included in the files but which might have escaped the notice of the staff.

In deciding what should or should not be included in a file, the research staff is guided by four considerations: How extensive is the bibliography on the culture or area in question? How

reliable is the source and what is the training of the author? To what extent does it duplicate material that is already available in the file? If it is in a foreign language, does it warrant the cost of translation into English? Ideally, of course, everything that has been written about a culture or area should be included in the file. For some cultures or areas, however, the material is so extensive that only a sample of the literature can be processed. This is the case, for example, with the Soviet Union (file R1 in the OWC). On the other hand, the bibliography on some cultures may be limited, as it is with the Burusho (file AV7 in the OWC), and in these instances it is likely that all the available material will be processed. For additional information on files in process, see page 11, and for methods of deriving bibliographical data from the files see the section below.

WHAT SOURCES HAVE BEEN PROCESSED FOR THE FILES?

In category 111 (Sources Processed) of each file, the researcher will find a full bibliographical citation for each source processed for that file together with a brief description of the contents of the source, biographical information about the author (if available), the call number assigned to the source by the library from which it was borrowed, the evaluation of the source in the opinion of the HRAF staff, the date of the fieldwork or research, the name of the analyst, as well as information pertinent to the handling of the source by HRAF, such as preparation of bibliographies or glossaries, omission of any

material, etc. These slips are filed in sequence by source number. A sample bibliography slip is printed on page 15. In addition, most of the member universities, as well as HRAF, New Haven, keep two master bibliographies where 111 slips for all the sources processed for the files will be found. In one of the master bibliographies the slips are filed alphabetically by author; in the other, they are filed alphabetically according to ethnic group or area and, within each ethnic group or area, by source number. The latter bibliography thus duplicates the bibliographies that are found in the individual files but has the advantage of bringing all the 111 slips together in one place.

ARE FOREIGN TEXTS PROCESSED FOR THE FILES?

Foreign as well as English language sources are processed for the files. The foreign texts are filed in category 116 (Complete Texts) directly in front of the HRAF translation of the source. It should be noted, however, that the foreign texts are not marked with individual category numbers; it is only the English translations of the sources that are marked in this way. Among the languages from which sources have been translated are: French, German, Italian, Japanese, Chinese, Dutch, Hebrew, Arabic, Russian and other Slavic languages, Finnish, Hungarian, Spanish and Portuguese.

111 AN1 Malaya

26: Tufo, M. V. Del. Malaya, Comprising the Federation of Malaya and the Colony of Singapore: A Report on the 1947 Census of Population. London: Crown Agents for the Colonies. 1949.

Pp. iv, 597; 4 charts, 127 tables, 8 appendices, 17 maps.

Yale: Nak 57.A947. +B1

Omitted from Files: Pp. 131-597, including appendices and end maps.

[The first fourteen chapters of this report contain a summary of the 1947 census, arranged under such topical headings as age, literacy, religion, housing, and so on. There are, in addition, chapters on the methodology and procedural problems involved in the preparation of the census. The chapter on aboriginal tribes attempts to summarize census data for the various Semang, Sakai, and Jakun groups. The detailed tables, on which these summaries are based, have been omitted from the Files. --Analyst]

Field date: none
Analyst: W. Carr

Evaluation: Government Official-4
Processed in 1955

IS THE SOURCE MATERIAL EVALUATED?

As noted elsewhere (see page 27) the HRAF research staff does not judge the validity or the accuracy of a source except as this is implicit in the selection of a source for a file. For the guidance of the researcher, however, HRAF has instituted an evaluation system which (a) indicates the discipline or profession of the author of a source and (b) the relative quality of the source in the opinion of the research staff. This evaluation appears in code form in the heading of each file slip and at the bottom of the bibliography slip (Category 111) where the discipline or profession of the author is spelled out. The code for the author will be found on page 17. The scale by which the quality of a source is rated is given on the same page. It should be noted, however, that evaluations 1 and 2 are rarely used since a source that the HRAF research staff feels is really inadequate would not be included in the files unless other material on the subject or culture is totally unavailable.

HOW ARE ANALYSTS SELECTED AND TRAINED?

Most of the analysts selected by HRAF have some prior knowledge of the area on which they will work as well as an advanced degree in one of the social sciences. At HRAF, they undergo an intensive training period during which four or five sample sources are marked by the trainee and checked by experienced analysts. The training sources are selected for complexity and variety of data as well as to illustrate the mechanical and technical problems with which an analyst

IDENTITY

A - Archeologist, Antiquarian
B - Folklorist
C - Technical Personnel (engineers, agricultural experts, Point Four advisors, etc.)
D - Physician, Physical Anthropologist
E - Ethnologist, Social Anthropologist (Formerly used also for Sociologist, see Z)
F - Foreign Resident
G - Government Official (administrator, soldier, foreign diplomat)
H - Historian
I - Indigene
J - Journalist
K - Geographer
L - Linguist
M - Missionary, Clergyman
N - Natural or Physical Scientist
O - Lawyer, Judicial Personnel
P - Psychologist
Q - Humanist (philosopher, critic, editor, writer, etc.)
R - Artisan (artist, musician, architect, dancer)
S - Social Scientist (other than those designated)
T - Traveler (tourist, explorer)
U - Unknown
V - Political Scientist, Propagandist
W - Organizational Documents and Reports (constitutions, law codes, government or UN reports and documents, censuses)
X - Economist, Businessman
Y - Educator (teacher, school administrator)
Z - Sociologist

QUALITY

1 - Poor
2 - Fair
3 - Good, useful sources but not uniformly excellent
4 - Excellent secondary data (e. g. compilations and/or interpretations of original data and primary documents.)
5 - Excellent primary data (e. g., traveler's accounts, ethnological studies, etc., as well as primary documents such as legal codes, legal documents, autobiographies etc.)

will be faced. In addition, each analyst is provided with a copy of the Analyst's Handbook which sets forth the guiding principles of marking and specific usages and practices that have become standardized at HRAF during the past several years.

HOW IS MATERIAL ANALYZED?

The standard unit of analysis is the paragraph but this will vary according to the author's organization of his material and the analyst's judgment of the best method for codifying it. An entire section, series of paragraphs or even a single sentence could serve as a unit of analysis in any particular instance.

In marking a passage, categories are placed at the beginning of the unit and remain in effect until a new group of categories is indicated. As a rule, material is not marked for both the specific category and the categories to which it is cross-referenced in the Outline of Cultural Materials since it is assumed that the researcher will investigate all of the categories to which he is referred by the Outline. (Cross-referenced categories are indicated by three asterisks following the definition of each category in the OCM.) Similarly, categories which follow each other consecutively in the OCM are normally not used for the same passage. If, for example, a passage refers to both courtship (category 584) and nuptials (category 585) the analyst usually decides which category is more appropriate and then classifies the passage accordingly. The researcher, consequently, should consult categories adjacent to the one he is using for material that

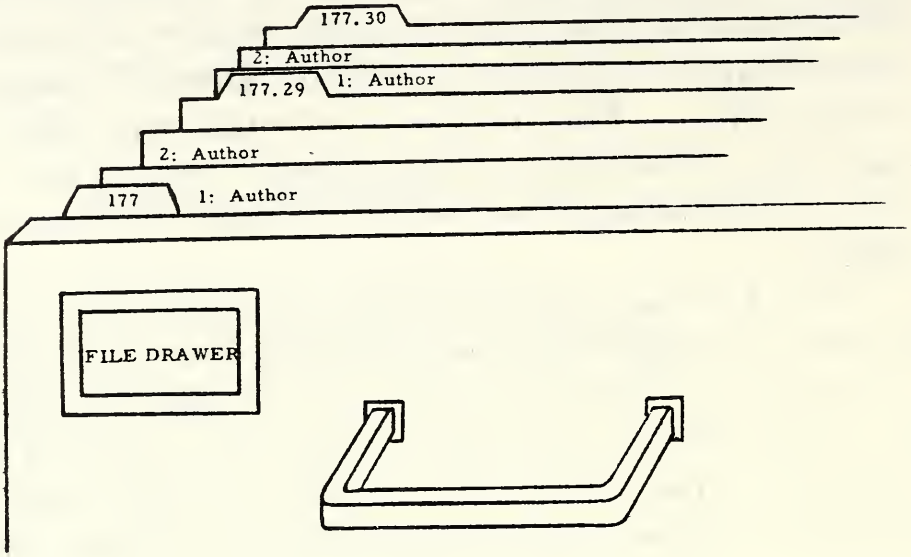
is possibly relevant to his topic.

The three digit OCM category is the standard unit of classification, but other marking conventions have evolved in response to the necessity of making the files as useful as possible to the researcher. This is the case with two-digit, decimal, bracketed, asterisked, zeroed and superscript categories, each of which is discussed below.

1. Two-digit Categories. The two-digit OCM category is used when the nature of the material is such that a breakdown into three-digit categories is not feasible. For example, a passage covering categories 301 (Ornament), 302 (Toilet) and 305 (Beauty Specialists) may be marked for category 30 (Adornment). Two-digit category slips are filed directly behind the two-digit divider in the files.

2. Decimal Categories. Occasionally, a category is "decimalized" by combining a three-digit OCM category with a two-digit category. This is done when the material in a given category becomes overly bulky and difficult to use or when it is felt that a more refined breakdown of the information is desirable. Thus, for example, a discussion of acculturation in terms of clothing might be marked 291 for the clothing category and 177.29 for the acculturation category, indicating the particular aspect of acculturation that is involved. The slips for the acculturation category would then be filed behind the general

177 slips, according to decimal point and source number as in the example below:



3. Bracketed Categories. Bracketed categories are intended to indicate to the researcher that only the sentence or two opposite the bracketed number contains information pertinent to the category being used and that the last series of unbracketed numbers continues to apply beyond the bracketed number. For example, if on a page dealing with status (category 554) there appears a brief reference to diet (category 262) the file slip would be marked as follows:

554 ----------

[262]----------

The slip would appear in both the 554 and 262 categories; the researcher using category 262, however, is alerted to the fact that the information on diet appears only at this particular point on the page while the researcher using category 554 is informed that the entire page is concerned with status. For a facsimile of a file slip on which a bracketed category appears, see page 22.

An additional use of brackets is to indicate that a particular category is not to be carried over to the following page. Generally, when a paragraph falls partially on one page and partially on another, the same group of categories will apply to both. There are situations, however, when an analyst may wish to drop a category. In such cases, he will bracket the category to be dropped on the first page indicating that there is nothing in the rest of the passage on the following page to which this category refers. Similarly, a new category added to a series at the top of a page is sometimes bracketed in order to indicate that the first part of the paragraph on the preceding page contained no information pertinent to the added category.

4. Asterisked Categories. The asterisk is used to avoid reproducing large portions of a book for a specific category when it would be just as convenient for the researcher to find the information

3:Fox N-3 (1937-38)1943 AUl Afghanistan AUl

payment, "these slippers were made in Peshawar and have paid 25 per cent duty, and now he is doubling the price because you are a foreigner."

We went next to the section where *poshtins* were displayed, and I selected one. In the Kabul-Ghazni area sheepskin poshtins are the greatcoats worn in winter. They are made of soft dry-tanned pelts, like chamois, with the long straight-fibered wool left on. The smooth side is usually richly embroidered with red or yellow yarn, and worn outside (unless it rains, when the robe is reversed). The coat is usually made with sleeves so long that they serve as mittens—or else they are turned in, and the robe is worn as a long, ankle-length cape. These robes are warm and cozy in cold, dry weather, but they go to pieces if the skin gets wet. The Uzbegs, north of the Hindu Kush, use similar garments made of quilted cloth. The shepherds in the southwestern deserts make theirs of felt. The felts are the best, I learned later, after a winter in the field; they stop the biting winter wind, and shed the icy winter rain, and still hold warmth enough to sleep in when one is caught out without other shelter in the desert. But one cannot buy a felt in Kabul, nor a sheepskin in Farrah; interprovincial trade is not so much developed.

From the main bazaar we wandered out past stalls where luscious fruits were up for sale, and past tea shops where one can draw a cup of either black or green from a steaming Russian samovar, and, at will, top it off with a drag on the long reed stem of the native chillum, or water pipe, that is always charged and ready for a customer to use.

And then we came again to the entrance where, dazzled by the sun, we groped our way toward our car.

One comes away from a first visit to this ancient market place as from a world apart; it is a spot as yet untouched by Western influence. And may nothing ever change it! There is more real contentment on the faces that pass these busy crossroads of Afghanistan than in all the hurried crowds that pass by Piccadilly Circus or Times Square.

To help solve my packing problem, I sent for a local blacksmith to build a baggage rack on top of my car. An old man came

Facsimile of a file slip containing asterisked, zeroed and bracketed categories.

in the complete text (Category 116). For example, in a collection of folk tales, category 539 (Literary Texts) would apply to each page and the book would thus appear in its entirety in both the 116 and 539 categories. To avoid this, category 539 is asterisked, a reference slip is prepared for category 539 referring the researcher to category 116 (see page 35) and file slips are printed only for the 116 category. It is not necessary for the pages that have been asterisked to be strictly consecutive; the major criteria are that they be more than fifty pages in length and equally useful in category 116 as in a specific category. For a facsimile of a file slip in which a bracketed category appears, see page 22.

5. Triple Zeroes. Passages which have no relevance to any category in the OCM are "zeroed out" by placing three zeroes (000) opposite the text to which they apply. Material so marked appears only in category 116 (Complete Texts). Zeroes are most frequently used for tables of contents, acknowledgements, personal experiences of the author, random comments, etc. In some cases, particularly for lengthy theoretical discussions which have some bearing on a topic in the OCM, a cross-reference slip is prepared for the relevant category, referring the researcher to category 116 for the pages which have been "zeroed out." For a facsimile of a file

slip with triple zeros, see page 22.

6. Superscripts. When a page is processed for two or more files (see page 30) superscript initials over each group of categories indicate the file into which each passage is to go. These initials correspond to the file heading in the upper right-hand corner of the slip. A page processed for both the Tibet and Sikkim files is printed on page 25. Usually, the first letter of the file heading is used as the superscript. When the file headings are roughly similar, however, as in the case of Kashmir and Kashmiri, the letter K would be used for one (Kashmir) and the letters Ki for the other (Kashmiri). For additional information, consult the file supervisors at the member institutions and for an explanation of file slip headings, see pp. 29-35.

IS INFORMATION TAKEN OUT OF CONTEXT?

In a system based on breaking down information into some 700 categories, it is obvious that the problem of context arises. When only excerpts were made of a source (prior to 1952) it was difficult for HRAF to solve this problem. At the present time, however, the researcher is provided with the complete text of the source in category 116 and can refer to this category whenever the context of a passage is unclear to him.

3: Bell G-5 (1904-21) 1928 AJ1 Tibet AJ1
Sikkim AK3

In an earlier chapter [1] we have seen that a rich person may spend a large sum in the hope of securing thereby a better rebirth for husband or other relative. The ceremonies performed at funerals are intended to purify the deceased from all evil *karma*, or, as we should say, to cleanse him from his sins. And on the death of a king or other rich man presents may be distributed. An instance of a king's gifts to his subjects is recorded in the History of Sikkim compiled by King To-tup Nam-gyal and his queen. Money, cloth, and salt were apportioned to the subjects on a set scale, and especially to the priests.

I have enumerated the four ordinary methods of treatment applied to the bodies of the dead. The fifth, and last, must be briefly described.

Embalming has long been practised in Tibet, though it is not common. Mr. Teichman, who travelled in eastern Tibet, relates that he 'never came across a mummied lama' there.[2] But the histories record instances of embalming from time to time, and I have myself seen two or three mummies in central Tibet.

In the Blue Record can be read the life-story of a Tibetan priest, named 'The Eagle Clan Yogi Adept', who lived about the tenth century A.D. He was embalmed when he died, and preserved in an urn of gold and silver.[3] The body of another noted priest was, at his own request, embalmed—instead of being cremated—and placed within a silver *chö-ten* facing eastwards.[4] When Sö-nam Gya-tso, the Dalai Lama who introduced Tibetan Buddhism among the Mongols, died,

'In memory of his body his portrait was painted on cloth, in memory of his speech one copy of the Kan-gyur was printed in gold letters, and in memory of his mind a silver tomb thirteen cubits in length was built by the people.'[5]

[1] See p. 85.
[2] *Travels in Eastern Tibet*, by Eric Teichman (Cambridge University Press), p. 84.
[3] Tep-ter Ngön-po, vol. ix, folio 4. [4] Ibid., vol. viii, folio 57.
[5] Folio 105 of the book entitled 'The Biography of the Reverend Omniscient Sö-nam Gya-tso, like a Chariot in the Ocean'.

This slip was marked for both the Tibet and the Sikkim files as indicated by the file slip heading and the use of superscripts over the categories.

Additional devices are also used by HRAF to establish context:

1. Category numbers are frequently applied to a passage in order to provide the context for what is to follow even though there is nothing in that passage particularly relevant to the categories for which it is marked. Thus, for example, if a discussion of a particular ceremony appears on page 43, but a sketch of events leading up to the ceremony begins on page 40, the analyst would most likely mark pages 40-42 for the ceremony category also.

2. Analysts frequently add footnotes to a page when it is felt that the necessary context can be established by a word or a phrase. Thus, if the Muharram ceremony is identified on page 43 and the succeeding references are simply to "this ceremony" the analyst may place a caret and raised numeral (e.g., $^{1}\wedge$) next to the word "ceremony" in the text and print at the bottom of the page:

$^{1}\wedge$[The Muharram ceremony, see pp. 43ff. --Analyst]

Explanatory notes were also used when material was excerpted from a source. At that time, however, the note was inserted within the text and was preceded by the analyst's initials, as in the example on page 8.

3. Unnumbered or bracketed subheads, as explained on pages 31 and 34, are added to the heading of the file slips to identify regions, time periods, particular phenomena etc., when the data in the text are not clear.

4. Cross-reference slips are used to refer the researcher to information which might be of interest or value to him but which, for various reasons, does not appear physically in the category. For a discussion of cross-reference slips, see page 35.

ARE CATEGORY USAGES COMPARABLE IN ALL FILES?

Although HRAF recognizes that marking or analyzing is essentially a subjective process, every effort is made to insure objectivity, comparability, and consistency in the end product. Analysts are cautioned against deviating from the stated content of the categories as defined in the OCM on the theory that the user of the files can retrieve information only to the degree that the analyst has been accurate and literal in applying the categories to the material. In like manner, analysts do not include or exclude material from the files on the basis of their own evaluation of the material. It is felt, in short, that HRAF should make a careful and expert selection of sources for any given file and that the information in these sources should then be made available to the researcher; thereafter, it is his privilege to accept or reject it as he will.

In order to guard against excessive subjectivity on the part of the analyst, as well as to insure a high degree of comparability in category usage, HRAF uses several devices:

1. Most of the categories in the OCM are cross-referenced to several related categories. The cross-referenced categories are indicated by three asterisks (***) following the definition of the category in the OCM. In this way, if a researcher does not find all relevant data in one category, he is led to other categories where the data may possibly be found.

2. Every source is worked on by two analysts. The first analyst marks the source and it is then checked by another analyst who reviews the marking and suggests additional or alternative categories where necessary.

3. When material is marked for one category but may be of peripheral significance to other categories, cross-references are sent to those categories where the material itself does not appear. Cross-reference slips are discussed on page 35.

4. File guides are prepared for those files in which the usages have deviated from the stated content of the category due to the nature of the material or the complexity of the culture in question. They will be found in category 10 (Orientation) in each file.

WHAT IS THE SIGNIFICANCE OF THE FILE SLIP HEADINGS?

Headings are a device to assist the researcher in identifying the individual file slips as well as to facilitate the filing of the slips in the event that one is misplaced. Since the form and content of the headings have changed through time, a facsimile of each type of heading is printed below, together with an explanation of the information it is meant to convey. If more detailed explanations are required, the researcher should consult the file clerk at the university where he is doing his work.

EXAMPLE A

8: Kawaguchi M-5 (1900-01) 1909 AJ1 Tibet AJ1

This is the type of heading that appears on an English language source at the present time. It contains the source number (8), the author's name (Kawaguchi), the evaluation of the source and author (M-5) as explained on pages 16 and 17, the date of field work or research (1900-01), the date of publication (1909), and the file in which both the complete text (category 116) as well as this particular file slip will be found (AJ1 Tibet AJ1). The AJ1 in front of the word Tibet - the pre-posited symbol - indicates the location of the complete text while the AJ1 after the word Tibet - the post-posited symbol - indicates the file for which this particular page of text has been marked. A file slip may have several post-posited symbols as in Example C below. It will never, on the

other hand, have more than one pre-posited symbol.

EXAMPLE B

3: Bell G-5 (1904-21) 1928	AJ1 Tibet Sikkim AK3

EXAMPLE C

3: Bell G-5 (1904-21) 1928	AJ1 Tibet AJ1 Bhutan AK2 Sikkim AK3

Examples B and C are similar to the heading illustrated in Example A. They contain the source number, author's surname, evaluation guide, the years during which the field work or research was done, date of publication and the file designations where the 116 slips (Complete Texts) and the individual file slips will be found. In Example B, the complete text will be found in AJ1 Tibet, while the file slip itself has been marked for the Sikkim file, as indicated by the post-posited symbol (AK3) following the word Sikkim. In Example C, the 116 slips will again be found in the AJ1 Tibet file; the file slip, however, has been marked for three files: Tibet AJ1, Bhutan AK2, Sikkim AK3 and copies will appear in all three. When a file slip is marked for more than one file, as in Example C, superscripts are added to each group of category numbers to indicate the file for which those categories have been selected. For an explanation of superscripts, see page 24.

EXAMPLE D

4: Blunt	G-4, 5 (1911-1930) 1931	AW1 India AW1 Northern India	

The above heading resembles Examples A, B and C except that it contains an unnumbered sub-head, Northern India. This is a device to inform the researcher that while the source as well as the file slip have been marked for the AW1 India file, this particular page refers only to one part of India and not the entire sub-continent. Unnumbered sub-heads are used, mainly, to identify regions (e.g., Northern India), particular institutions or organizations (e.g., Anglo-Iranian Oil Company), ethnic groups (e.g. Poles) or time periods (e.g., circa 1800). Occasionally, unnumbered sub-heads appear in brackets thus [Northern India], and are centered at the top of the file slip. This is done to avoid confusion when a source is marked for more than one file, as in Example C above, or to establish context as explained on page 27.

EXAMPLE E

7: Alisjahbana	E-3 (1952-53) 1954 (ca. 1900)	OB1 Indonesia Sundanese OE7	

This heading (Example E) differs from the ones already described in that in addition to the research and publication dates - (1952-53) 1954 - it also indicates the time period covered by the data (ca. 1900). Headings of this sort are used mainly for sources dealing with historical

material or where there is a great discrepancy between the research dates and the period covered by the source.

EXAMPLE F

1: Holmberg--19 (1941-42) 1950	Siriono

EXAMPLE G

1: Holmberg--28 [4] (1941-42) 1950	Siriono

EXAMPLE H

9: Roheim--28-31 (no date) 1945	Aranda-2

9: Roheim--28-31 (no date) 1945	Aranda-1

EXAMPLE I

1: Holmberg--70-73 (1941-42) 1950	Siriono 1-9

All four of the above headings were used when HRAF made typewritten excerpts of a source instead of reproducing the complete page. The first heading (Example F) was used when only one excerpt was made from a page and when the material in the excerpt could be typed on a single file slip. The figure 19 after the author's name indicates that this excerpt is from page 19. The second heading (Example G) was used when

several excerpts were made from a page. Thus, the figure four in brackets [4] indicates that this is the fourth excerpt from page 28. The third and fourth headings (Examples H and I) were used when a single excerpt consisted of several file slips. In Example H, the excerpt was taken from pages 28-31 and the file slips were numbered Aranda-1, Aranda-2 and so on. In Example I, the excerpt was taken from pages 70-73 and consisted of nine file slips. The number of file slips in the series is indicated by the figures 1-9 after the file name. Subsequent file slips in this series are numbered Siriono-2, Siriono-3 and so on. Example I (Siriono 1-9) is a refinement of Example H (Aranda 1, Aranda 2) and when the former heading was adopted, the latter was discontinued.

EXAMPLE J

31: Hoffman--16 N-3 (1909) 1912	Formosans Japanese
116, 634, 669, 607, 177.63 636.63	

The above heading was used when HRAF was processing material for a Colonial file. Its purpose was to enable the researcher to locate data from two points of view, the colony's as well as the colonial power's. The information on this slip, therefore, is intended for two distinct files: the upper row of category numbers (116, 634 etc.) refers to the Formosans file while the lower category number (636.63) is the way the material was marked for the Japanese subdivision of the general Colonial file. The Colonial file is no longer in operation. It was discontinued with the

adoption of the OWC. (Decimal categories are explained on page 19).

EXAMPLE K

52: Garrod D-5 (no date) 1946	Iran Qashqai

EXAMPLE L

52: Garrod D-5 (no date) 1946	Iran; Lur Qashqai

Even before the adoption of the OWC, file slips were sometimes marked for more than one file. On these file slips, the heading was blocked as in Examples K (2 files) and L (3 files), and the categories selected for each file were indicated by superscripts. (See page 24.)

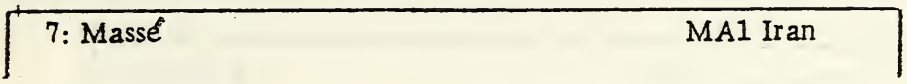
EXAMPLE M

9: Haas S-5 (1935-40) 1946	Iran Kurd

In the old system (prior to the adoption of the OWC) analysts indicated that the data in a file slip referred to an ethnic sub-group or region by indenting the name of the sub-group or region beneath the name of the major file as in Example M above. This is comparable to the unnumbered sub-head which is illustrated in Example D, page 31. In Example M the file slip is intended only for the Iran file; the word Kurd is placed beneath the file name simply for purposes of orienting

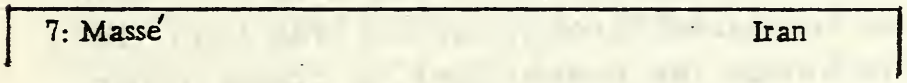
the researcher. If the file names were blocked, as in Example K, it would mean that the slip was actually marked for the two files.

EXAMPLE N



This is the heading that is currently used on a foreign language text. It contains only the source number, author's surname, and the location of the complete text. The additional data appear on the English translation of the foreign text which, with the foreign text itself, is filed in category 116. (See page 14)

EXAMPLE O



This is the heading that was formerly used on a foreign text. It differs from the heading that is currently used in that it lacks a pre-posited OWC number.

WHAT IS THE PURPOSE OF CROSS-REFERENCE SLIPS?

The major purpose of cross-reference slips is to provide the researcher with information as to the location of material not appearing in the category or categories where he might ordinarily expect to find it. (See page 27.) Cross-reference slips are prepared by the analyst who has marked the source and are usually written

for data which are peripheral to the main theme of the section, are scattered throughout a section and are therefore difficult to mark, or which provide background information only. They are also used when a category is asterisked, as explained on page 21. The standard format appears as:

3: Lambton MA1 Iran MA1
241

/For agricultural data, see category 116, pp. 3-70./

Cross-reference slips may also be used to explain the use of categories within a file. When a complex phenomenon such as the operations of the Anglo-Iranian Oil Company is discussed from diverse points of view, the data will naturally be scattered throughout the Iran file. In order to assist the researcher, a cross-reference slip is written for each relevant category, as follows:

Iran MA1

135, 315, 382, 439, 466, 471, 648

/Consult the categories listed above for information on various aspects of the petroleum industry in Iran./

A third function of cross-reference slips is to refer the researcher who is using one file to information available in another. For example, a source processed for the EA1 Poland File might contain some information on Soviet legislation.

If the information is not considered important enough to warrant its physical appearance in the pertinent category of the R1 Soviet Union File, the following cross-reference slip would be prepared:

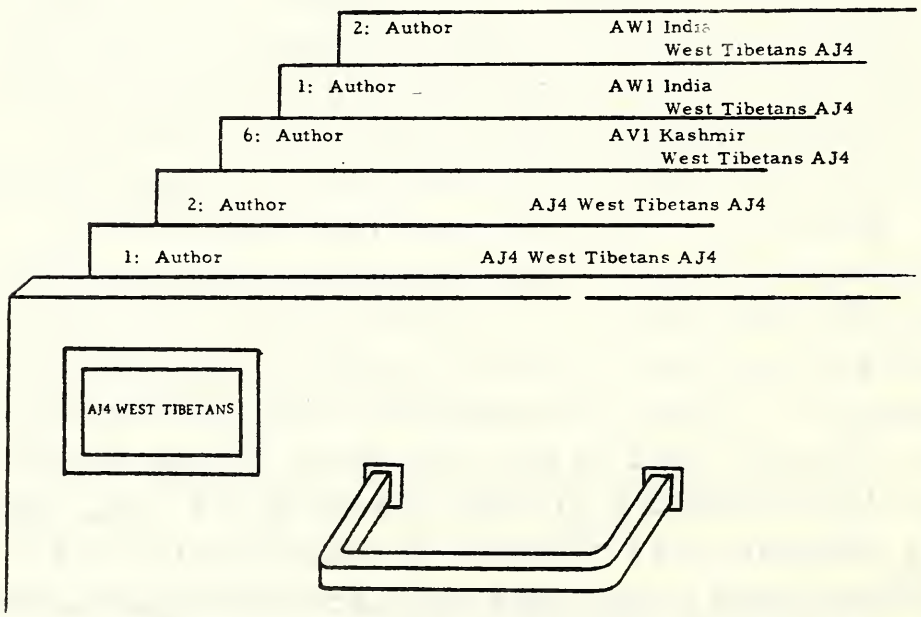
113, 671	Soviet Union R1
/For information pertaining to Soviet legislation regarding divorce and family law, see 6: Szuldrzynski, EA1 Poland, category 116, pp. 5-15./	

HOW ARE CATEGORY SLIPS FILED?

The filing system described below is the one that is used at HRAF, New Haven. Some of the member universities have adopted a somewhat different procedure and for more specific information the researcher should consult the file clerk at the institution where he is doing his work.

Except for the OWC key file, which is described on page 11, all category slips are filed in individual ethnic or regional files according to category number, source number, and OWC key number. Thus, for example, file slips marked for category 262 in the AJ4 West Tibetans file are filed behind a divider labelled 262, file slips for category 341 behind a divider labelled 341. Within these categories they are arranged according to source number and OWC designations. File slips from sources that have been specifically selected for the West Tibetans file, as indicated by the pre-posited symbol AJ4 that precedes the

file name in the heading, are filed in front of file slips that have been sent to the AJ4 West Tibetans file from sources that have been specifically selected for another file. (See page 29 for a discussion of the pre- and post-posited symbols and pages 29-35 for a discussion of headings.) Thus, as in the illustration below, file slips with the heading AJ4 West Tibetans AJ4 are filed numerically by source in front of file slips with the headings AV1 Kashmir
West Tibetans AJ4
or AW1 India
West Tibetans AJ4



HOW TO USE THE FILES FOR RESEARCH

Since the files are intended for areal and cross-cultural research, the variety of problems for which they are potentially useful is almost limitless. A person planning a field trip can use the files to acquaint himself with the studies that have previously been made of the culture in which he is interested. A person organizing an experimental study can use the files to pre-test his hypotheses or to establish possible correlations. (In the latter context, he might simply skim the relevant OCM categories in order to ascertain what evidence can be adduced to support a suspected relationship.) A person interested in comparing an institution cross-culturally, will find material in the files for that purpose also. Regardless of his problem, however, there is one thing the researcher should keep in mind, and that is the concept of the files themselves. The files are a tool for research. They can assist the researcher by making available to him countless items of information on as many cultures as possible. They cannot, on the other hand, do the research for him. It is the researcher who will have to decide on the problem he wishes to study, the approach he intends to use, the size and distribution of his sample, the independence of the cases selected for study, and the validity of traits taken out of context. On the basis of HRAF's experience, however, the following suggestions may facilitate his use of the files:

General Considerations. Before searching the

files for any specific material, the researcher should:

1. Consult the Outline of World Cultures to find the key number of the culture he wishes to study.

2. Check the OWC Key File to see if file slips have been received for that culture. The method of doing this is described on page 11.

3. Check category 111 in relevant files for bibliographical data and description of the sources processed for each file.

4. Check the Index and Table of Contents of the OCM for the categories that might be relevant to his problem.

5. Read the definitions of the categories in the OCM. Occasionally, the title of a category may be misleading. By reading the definition of the category in the OCM, however, the researcher will see exactly what is meant by that category and what is included within it.

6. Check the additional categories to which each of the categories is cross-referenced.

7. Check the categories adjacent to the ones he is using.

8. Consult category 10 in relevant files to see if guides to those files have been prepared.

The above steps should be followed no matter what the research problem may be.

Phrasing the Research Problem. In phrasing a research problem for the files, there are three things the researcher should keep in mind:

1. The problem should be precise. Unless a researcher knows exactly what he is looking for it will be difficult for him to use the files.

2. The problem should be aimed at data rather than theory. Though theoretical formulations are included in the files (see, for example, categories 121 and 182) analysts are instructed to mark the source material for data rather than for the theoretical implications of the data. The purpose of this is to keep the files free of the theoretical bias of the research staff and to make them useful for any of a number of purposes.

3. The problem should be phrased in file terms. This is the most important factor of all and to make it clear we have selected a series of problems, each of which is on a different level of complexity, and indicated how the file user might conduct his research.

Sample Research Problems.

1. Do the Iroquois (OWC designation NM9 Iroquois) have the institution of blood brotherhood? This is the simplest kind of question one can ask of

the files. It is specific, unambiguous and requires the use of only one category. One would first check the Index of the OCM to see if there is an entry for blood brotherhood. There one would find a reference to category 608. Then, after consulting the OWC key file, to make certain that an Iroquois file has been opened or that file slips have been received for that file, one would look under category 608 (Artificial Kin Relationships) for all the material relating to this topic.

2. Where in the AW1 India File will one find information on suttee? Again one would consult the Index of the OCM. This time, however, one would not find an entry for the institution of suttee. The next thing to do, therefore, is to turn to the Table of Contents of the OCM. Here one will find several categories that seem applicable to the problem: 762 Suicide, 764 Funeral, 766 Deviant Mortuary Practices. Under one or all of these categories, one might expect to find material on suttee; or, if the data have been filed elsewhere, a cross-reference slip indicating where they might be found. As it happens, most of the material on suttee in India has been assigned to Category 762 (Suicide).

3. Where can one find information on the cultivation, processing and use of sugar? In file terms, this is a more complicated problem since, in effect, one is asking for all the information about sugar, anywhere. The first step is to divide the question into several parts - cultivation, processing and use - and then to decide what files in the OWC might contain information on these topics.

In general, however, the approach to this problem is the same as already described. One would look in the Index of the OCM where, under sugar, there are references to categories 257 and 263. In addition, there is a cross-reference in category 257 to category 249. These categories, however, would provide information only about large-scale sugar cultivation, the confectionary industry, and condiments. In the end, consequently, one would have to study the Table of Contents in the OCM and refer to all or some of the following categories:

241 Tillage
242 Agricultural Science
251 Preservation and Storage of Food
252 Food Preparation
261 Gratification and Control of Hunger
262 Diet
272 Nonalcoholic Beverages
273 Alcoholic Beverages
274 Beverage Industries
407 Agricultural Machinery
412 General Tools
415 Utensils
417 Apparatus
654 Research and Development

From the above categories, as well as from others that might come to mind, the researcher should be able to find out not only how sugar is planted and grown, but how it is used, what tools and machines are used in its cultivation and processing, the scientific knowledge that people have of this crop, and plans for its future development.

4. What are the values of the Tikopia (OWC designation OT11)? This is the most difficult question of all. It is an example, in fact, of the kind of question that should not be asked of the files. Though there is a "values" category in the files (category 181 Ethos) material is not marked for this category unless the author is clearly writing about values. All other data on values would have to be synthesized by the researcher himself. The first thing to do, therefore, is rephrase the problem. Instead of asking a general question about values one would have to decide exactly what he meant by values and what values he has in mind. Are the people competitive or cooperative? Do they prefer to work alone or in groups? Both these questions and many more might throw some light on the problem of values. Then, on the basis of these questions, one would have to decide what categories in the OCM might provide the relevant information. Perhaps one would use the economic categories, the social structure categories, the political categories, or, what is even more likely, almost all of the categories in the OCM.

HRAF does not take responsibility for conclusions of research based on the files. The researcher may, however, in his publications, acknowledge the fact that he has used the files in connection with his work. HRAF would appreciate receiving reprints of publications that are in any way based on the files or, a bibliographical reference containing the author's name, title of the book or article, the publisher and the place and date of publication.

GLOSSARY

The following technical terms and abbreviations are used in this brochure:

ANALYSIS - The process of coding material according to the categories in the OCM.

CATEGORY - The individual rubrics into which the OCM is divided and according to which material is analyzed or marked.

CHECKING - The process during which a second analyst surveys the manner in which a source has been marked in order to suggest revisions, additions etc.

HRAF - Abbreviation for the Human Relations Area Files, Inc.

MARKING - Application of categories to a source by an analyst. See analysis.

MASTERS - Specially treated multilith mats onto which a source is photographed and from which it will ultimately be printed.

OCM - Abbreviation for the Outline of Cultural Materials.

OWC - Abbreviation for the Outline of World Cultures.

OWC KEY FILE - The master file that indicates which files in the OWC are actually in process.

GLOSSARY

POST-POSITED SYMBOL - The OWC symbol that appears after the file name on each file slip and indicates the file for which that particular slip is intended.

PRE-POSITED SYMBOL - The OWC symbol that appears in front of the file name on each slip and indicates the file for which that particular source has been selected as well as the file in which the complete text (category 116) and bibliography slip (category 111) will be found.

PROCESSING - The term used by HRAF for everything that is done to or with a source from the time it is selected for the files until it is finally sent to the member institutions for filing. It includes xeroxing (see xerography below), marking, checking, printing and collating.

SOURCE - The term used by HRAF for the articles or books which are selected for inclusion in a file.

SUPERSCRIPTS - A device to indicate which of several files a category or a group of categories refer to when a slip is marked for more than one file.

XEROGRAPHY - A system of "dry" photography by which sources are reproduced on multilith masters and from which they will eventually be printed.

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